



***Cal* OES**

**GOVERNOR'S OFFICE
OF EMERGENCY SERVICES**

Fiscal Year 2015

**EMERGENCY MANAGEMENT
PERFORMANCE GRANT (EMPG) PROGRAM**

***California Supplement to the Federal Program Notice of
Funding Opportunity; or, The State Guidance***

Director's Message

The California Governor's Office of Emergency Services (Cal OES), serves as the State's leader for emergency management and homeland security agencies in California. As such, Cal OES realizes that our vision of building a safer and more resilient California will be achieved through collaboration and coordination with emergency management partners from communities large and small throughout our diverse state. We recognize that our mission to protect lives and property, build capabilities, and support our communities for a more prepared California can only be achieved because of the dedication of like-minded professionals, who are willing to work alongside Cal OES to support the National Preparedness Goal's associated mission areas and core capabilities.

It is with profound gratitude for the hard work and commitment of our partners that we are pleased to announce the release of the Cal OES Fiscal Year 2015 Emergency Management Performance Grant Program (EMPG) – *California Supplement to the Federal Program Notice of Funding Opportunity*. As in previous years, Cal OES EMPG program specialists and emergency services coordinators remain available to assist you in successfully completing this and other emergency management programs in addition to supporting your emergency operations.

As we continue to jointly advance California's comprehensive emergency preparedness system, we understand there is still much work to do. Yet, we can say with certainty that our communities are safer, better trained, and better prepared as a result of the EMPG Program and others like it. We have been entrusted with a duty and responsibility to the people of this state to provide leadership through service during some of the most difficult times our communities will face. We maintain that trust by fulfilling our mission with honesty, accountability, and transparency. It is a great honor for us to be working alongside partners that exemplify a commitment to maintaining that trust. We both welcome you and thank you for joining us in our forward leaning efforts to ensure California's optimum readiness to prevent, prepare for, protect against, respond to, recover from, and mitigate the effects of all threats and hazards to life, property, and environment.



MARK S. GHILARDUCCI
Director

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SUBAWARD-RELATED DOCUMENTS:¹

- FINANCIAL MANAGEMENT FORMS WORKBOOK (FMFW) – (REQUIRED)
- GOVERNING BODY RESOLUTION (GBR) & ADDENDUM TO GBR – (REQUIRED)
- SUBAWARD ASSURANCES AND CERTIFICATIONS – (REQUIRED)
- FY2015 EMPG APPLICATION CHECKLIST – (REQUIRED)
- INDIRECT COST RATE NEGOTIATION AGREEMENT – (REQUIRED IF APPLICABLE)
- EXCESS FUNDS STATEMENT FORM – (OPTIONAL)
- ADDITIONAL PROJECT USING EXCESS FUNDS FORM – (OPTIONAL)
- ADDITIONAL PROJECT USING EXCESS FUNDS DETAILED BUDGET FORM – (OPTIONAL)
- HOW TO SUBMIT AN EMPG MODIFICATION REQUEST – (INSTRUCTIONAL)
- HOW TO SUBMIT AN EMPG REIMBURSEMENT REQUEST – (INSTRUCTIONAL)

¹ All documents can be located on the Cal OES website at: <http://www.caloes.ca.gov/GrantsManagementSite/Pages/Emergency-Management-Performance-Grant.aspx>

Federal Program Guidance	The U.S. Department of Homeland Security (DHS) published the <i>Fiscal Year (FY) 2015 Emergency Management Performance Grant (EMPG) Program, Notice of Funding Opportunity (NOFO)</i> on March 25, 2015. ²
Information Bulletins	DHS issues Information Bulletins that provide updates, clarification, and requirements throughout the life of the grant. ³
Grant Management Memorandums	Cal OES periodically issues Grant Management Memorandums (GMMs) . GMMs that provide additional information regarding EMPG funds can be located on the Web Page. ⁴
Purpose of this Subaward & Guidance	The purpose of the Emergency Management Performance Grant (EMPG) Program is to provide federal funds to states to assist state, local, and tribal governments in preparing for all hazards. Funds provided under the EMPG must be used to support activities that contribute to the Operational Area's capability to prevent, prepare for, mitigate against, respond to, and recover from emergencies and disasters, whether natural or man-made. This <i>California Supplement to the Federal Program Notice of Funding Opportunity</i> will provide the Operational Areas (OAs) with guidance and forms to apply for, perform, and closeout the FY15 EMPG subaward. This supplemental guide specifies the performance period, objectives, eligible activities, and other subaward-related information and requirements. This document is to supplement the <i>U.S. Department of Homeland Security FY 2015 EMPG Program Notice of Funding Opportunity</i> .
Eligible Subaward Subrecipients	<p>The eligible subaward subrecipients are the 58 county Operational Areas (OAs). The Tribal Guidance will be issued under separate cover.</p> <p>(Subrecipients may contract with any other public or private organizations to perform eligible activities on approved projects.)</p> <p>Note: Cal OES is the 'recipient'; the county is the 'subrecipient'; and the county's pass-through entities are 'subrecipients.' For a definition of the term subrecipient, refer to 2 Code of Federal Regulations (C.F.R.) § 200.93.</p>
Subrecipient / Pass-Through Entities	Any time grant funds are given to a subrecipient, such as a political subdivision (city, town, or special district) or federally-recognized tribe, the county/pass-through entity must ensure that the assurances and certifications of this subaward are included as part of the subaward agreement with the subrecipient.
Performance Period	The performance period for FY15 EMPG is July 1, 2015, through June 30, 2016. All subaward activities must be completed and all grant funds expended within this period. Pending receipt of all valid application materials, subrecipients may request retroactive reimbursement of Financial Management Forms Workbook (FMFW) approved activities and budgeted items to the start of the performance period listed above; with the exception of Equipment. Procurement of equipment shall occur only after the OA is in award, and any applicable federal requirements have been met.

² U.S. Department of Homeland Security *Fiscal Year (FY) 2015 EMPG Program, Notice of Funding Opportunity* may be viewed and downloaded at: http://www.fema.gov/media-library-data/1427284768817-b62b93d48b12617f423c0e8fbfde562b/FY2015EMPG_NOFO.pdf.

³ Information Bulletins may be obtained at: <http://www.fema.gov/grants/grant-programs-directorate-information-bulletins>.

⁴ GMMs can be located at <http://www.caloes.ca.gov/GrantsManagementSite/Pages/Emergency-Management-Performance-Grant.aspx>.

Match Requirements

The FY15 EMPG requires a dollar-for-dollar match. This can be cash or third party in-kind contributions. Refer to 2 C.F.R. § 200.29 and § 200.306 for specific details.

Allocations and Methodology

California will subaward a total of \$15,481,623 to Operational Areas. The local allocations were determined using a \$125,000 base award, with remaining funds distributed using per capita figures in the Department of Finance's yearly report called:

*E-1: City/County Population Estimates with Annual Percent Change*⁵

Excess Funds

While developing an application, if it is determined that all allocated funds cannot be expended by the end of the performance period and the need to return funds to Cal OES exists, then it will be necessary to complete the **Excess Funds Statement Form**.⁶ These funds may then be reallocated to other OAs who have identified one-time projects they would like to undertake; if funding is available and the project is selected for funding by Cal OES.

Indirect Costs

Indirect costs are allowable under the FY15 EMPG subaward. Subrecipients wishing to claim indirect costs may do so using either of the following two methods:

1. Subrecipients with an indirect cost rate approved by their cognizant federal agency may claim indirect costs based on the established rate. Indirect costs claimed must be calculated using the base approved in the indirect cost Negotiation Agreement. A copy of the approved Negotiation Agreement is required at the time of application.
2. Subrecipients who have never received a negotiated indirect cost rate and receive *less than* \$35 million in *direct* federal funding per year may claim the 10% de minimis indirect cost rate based on Modified Total Direct Costs (MTDC) as described in 2 C.F.R. §200.68 and Subpart E.

Indirect costs are *in addition to* the M&A allowance, and must be included in the subaward application as a "Project" and reflected in the Financial Management Forms Workbook on the Indirect Cost Category Ledger if being claimed under the subaward.

Conflict of Interest

Subrecipients must disclose to their Cal OES EMPG Program Specialist, in writing, any real or potential conflict of interest as defined by the federal, state, local, or tribal statutes or regulations or their own existing policies, which may arise during the administration of the EMPG award within five days of learning of the conflict of interest.

⁵ This report can be accessed at the following website: <http://www.dof.ca.gov/research/demographic/reports/estimates/e-1/view.php>.

⁶ This form can be located at: <http://www.caloes.ca.gov/GrantsManagementSite/Pages/Emergency-Management-Performance-Grant.aspx>, under EMPG Forms.

Subaward Timelines / Key Dates

March 25, 2015	DHS releases announcement of FY15 EMPG
April 24, 2015	Cal OES' Application due to DHS
July 1, 2015	Subrecipient Performance Period Begins
August 14, 2015	<i>FY15 EMPG California Supplement to the Federal Program Notice of Funding Opportunity released</i>
August, 19, 20, 24, 25, 26, and 28 2015	EMPG Application Workshops
September 14, 2015	Electronic copy of completed FMFW and other application documents due to your Cal OES EMPG Program Specialist for review and vetting
September 30, 2015	DHS awards grant funds to Cal OES
September 30, 2015	MY-TEPs due to be submitted
October 14, 2015* *Submit as soon as possible, but no later than October 14, 2015	The OA's completed/vetted applications must be received by Cal OES Grants Management Unit Program Specialist by this date
October 14, 2015	Submission of the FY15 EMPG Performance Report for the Period of 7/1/2015 – 9/30/2015 has been waived and is <u>not</u> required to be completed
November 16, 2015	Anticipated date that OAs will be notified of application approval and award
January 14, 2016	Performance Report due to Program Specialist for 7/1/2015– 12/31/2015
April 14, 2016	Performance Report due to Program Specialist for 7/1/2015 – 3/31/2016
June 30, 2016	Subrecipient performance period ends. All subaward activities must be completed and all grant funds expended
July 14, 2016	Final Performance Report due to Program Specialist for 7/1/2015 – 6/30/2016
July 14, 2016	Final Reimbursement Request due to Program Specialist
September 30, 2016	Cal OES' Federal Performance Period Ends

What's New?

- The 2 C.F.R. Part 200 – *Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards* (“Super Circular” or “Omni Circular”) supersedes all inconsistent provisions found in other administrative requirements, program manuals, handbooks, and other non-regulatory materials (see 2 C.F.R. § 200.105).
- Subrecipients are responsible for costs incurred to comply with FEMA’s Environmental Planning and Historic Preservation (EHP) requirements. This includes, but is not limited to, California Historical Resources Information System (CHRIS) reports; when required. See Information Bulletin (IB) 404.
- Indirect costs are allowed under the FY15 EMPG subaward, as described on page 2 of this State Guidance.
- The FY15 EMPG-specific Financial Management Forms Workbook (FMFW) has been updated. Updates include, but are not limited to, a revised Grant Subaward Face Sheet which includes additional fields; and new Indirect Cost-related tabs.

EMPG Program Emphasis

The FY15 EMPG Program will focus on the building, sustainment, and delivery of all-hazards emergency management capabilities in the following areas:

- Planning
- Organization
- Equipment Acquisitions
- Training
- Exercises
- EOC Construction and Renovation
- Maintenance and Sustainment

The FY15 EMPG Program plays an important role in the implementation of the **National Preparedness System (NPS)**⁷ by supporting the development and sustainment of core capabilities. Core capabilities are essential for the execution of each of the five mission areas outlined in the National Preparedness Goal (NPG). The development and sustainment of these core capabilities are not exclusive to any single level of government or organization, but rather require the combined effort of the whole community. The FY15 EMPG Program supports all core capabilities in the Prevention, Protection, Mitigation, Response, and Recovery mission areas based on allowable costs.

⁷ The National Preparedness System can be located at: <http://www.fema.gov/national-preparedness-system>

Applicant Responsibilities

The applicants' responsibilities are to:

1. Submit a finalized FMFW application, both electronic copy and hard copy, to their Cal OES EMPG Program Specialist as soon as possible, **but no later than October 14, 2015**; along with all other required application components.
Note: An electronic copy of the proposed FMFW and other required application documents shall be submitted for Program Specialist review and vetting **prior** to submission of signed hard copy original. The electronic copy of the FMFW and other required application documents should be submitted for Cal OES review by no later than **September 14, 2015**.
2. Comply with all assurances and certifications contained in the Subaward Assurances and Certifications submitted with the FY15 EMPG application. In addition, if the OA subawards funds to other entities, their subaward agreements/contracts must also include these same assurances and certifications; along with any local requirements.
3. Prepare and submit timely Performance Reports for the duration of the performance period.
4. Maintain financial management systems that support subaward activities in accordance with 2 C.F.R. § 200.302.
5. Submit revision requests to Cal OES and obtain approval **prior** to incurring any associated expenditures; if changes are required after the initial subaward. Further details are included in this guidance under "Subaward Modifications."
6. Deobligate unexpended subaward funds to Cal OES after all work has been completed and reimbursements have been disbursed.
7. Maintain property, programmatic, and financial records in accordance with the 2 C.F.R. Part 200 record retention requirements.
8. Comply with the audit requirements in 2 C.F.R. Part 200 Subpart F—Audit Requirements.
9. Complete all EMPG requirements associated with federal and state objectives; including but not limited to, staff training and exercises.
10. Submit all subaward-related paperwork including: Performance Reports, Reimbursement Requests, Modification Requests, and Amendments, by the identified due dates.
11. Comply with 2 C.F.R. Part 200 and FEMA Grant Programs Directorate (GPD) Policies.
12. Comply with DHS FY 2015 EMPG Program NOFO and the Cal OES FY 2015 EMPG Program - California Supplement to the Federal Program NOFO, as applicable.

Application Documents

The application must include the following components:⁸

1. Financial Management Forms Workbook (FMFW)
2. Governing Body Resolution (GBR)
3. Addendum to Governing Body Resolution
4. Subaward Assurances and Certifications
5. FY15 Emergency Management Performance Grant Application Checklist
6. Indirect Cost Rate Negotiation Agreement; if applicable*

*If claiming indirect costs at a federally-approved rate, then you must provide a copy of your approved indirect cost rate Negotiation Agreement – see Indirect Costs on page 2 of this Guide.

⁸ Application documents can be found on the Cal OES website on the Emergency Management Performance Grants Documents page at: <http://www.caloes.ca.gov/GrantsManagementSite/Pages/Emergency-Management-Performance-Grant.aspx>.

Optional Application Components	<p><u>Excess Funds Statement Form</u> - While developing an application, any excess funds should be identified and returned to Cal OES so that the funds may be reallocated to other OAs. In this case, it will be necessary to complete and submit the <u>Excess Funds Statement Form</u> to your Program Specialist by the application due date.</p> <p><u>Additional Project Using Excess Funds Form</u> and <u>Additional Project Using Excess Funds Detailed Budget</u> - these two forms are to be used for requesting additional funding; should it become available.</p>						
Governing Body Resolution (GBR)	<p>The GBR appoints agents authorized to execute any actions necessary under this subaward. Universal GBRs can be used for up to three years as long as the majority of the original approving Board members (three out of five) are still currently on the Board. If past GBRs are going to be utilized for present applications, then the OA will still need to submit a copy with their application. Universal GBRs are strongly encouraged; this refers to a GBR that does not identify a specific subaward amount, specific subaward years, and does not identify a specific grant program by name.</p>						
Addendum to Governing Body Resolution	<p>For each person or position appointed by the governing body, submit the following information to Cal OES, along with the Resolution, on the applicant's letterhead:</p> <table><tr><td>● Name</td><td>● Title</td></tr><tr><td>● Jurisdiction</td><td>● E-Mail Address</td></tr><tr><td>● Street Address, City, & Zip Code</td><td>● Phone and Fax Number(s)</td></tr></table> <p>Note: Changes identifying the Authorized Agent can be made if and when necessary. If the Governing Body Resolution identifies the Authorized Agent by name, a new Resolution and corresponding Addendum to the GBR are needed when any changes are made. If the Governing Body Resolution identified the Authorized Agents by position and/or title, changes can be made by only submitting a new Addendum to the GBR. Cal OES will not accept signatures of an Authorized Agent's designee.</p>	● Name	● Title	● Jurisdiction	● E-Mail Address	● Street Address, City, & Zip Code	● Phone and Fax Number(s)
● Name	● Title						
● Jurisdiction	● E-Mail Address						
● Street Address, City, & Zip Code	● Phone and Fax Number(s)						
Official Written Correspondence	<p>For the EMPG Program, all official written correspondence from Cal OES will be mailed to the payment mailing address, identified on the Grant Subaward Face Sheet, and addressed to the Authorized Agent who signed the Grant Subaward Face Sheet.</p>						
Sole Source Procurement	<p>To be eligible for reimbursement, sole source (or noncompetitive) procurements exceeding the <i>simplified acquisition threshold</i> (which is established by the Federal Acquisition Regulation at 48 C.F.R. Subpart 2.1 and is currently set at \$150,000) require Cal OES <i>prior</i> written approval.</p> <p>Note: This method of procurement must be approved by your local Purchasing Agent prior to submitting a request for Cal OES approval. A copy of the Purchasing Agent's approval must be included with the Cal OES submission; additional documentation supporting the procurement effort may also be requested for review by Cal OES.</p>						

Subaward Assurances and Certifications

The Subaward Assurances and Certifications form lists the requirements to which the OA will be held accountable. OAs are required to file a new Subaward Assurances and Certifications form with the FY15 EMPG application. **Failure to comply with any of the Subaward Assurances and Certifications may result in suspension, termination, or reduction of grant funds.**

The State may suspend or terminate subaward funding, in whole or in part, or other measures may be imposed for any of the following reasons:

- Failing to expend funds in a timely manner consistent with the subaward milestones, guidance, and assurances
- Failing to comply with the requirements or statutory objectives of federal or state law
- Failing to make satisfactory progress toward the goals or objectives set forth in the subaward application
- Failing to follow subaward requirements or special conditions
- Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding
- Failing to submit required reports on time
- Providing false certification in the application or other report or document
- Failing to adequately manage, monitor, or direct the subaward funding activities of their subrecipients
- Failing to submit a Reimbursement Request

Before taking action, the State will provide the subrecipient reasonable notice of intent to impose corrective measures and will make every effort to resolve the problem informally.

NIMS Adoption

In accordance with the Homeland Security Presidential Directive (HSPD)-5, Management of Domestic Incidents, the adoption and implementation of the National Incident Management System (NIMS) is a requirement to receive federal preparedness assistance, through grants, contracts, and other activities. The Subaward Assurances and Certifications form includes NIMS adoption for certifying compliance. This certifies that the OA will complete the NIMS Implementation Tool, is working on their metrics, and has adopted and implemented NIMS.

For further details and/or assistance regarding NIMS-related matters contact Cindy Shipley at cynthia.shipley@caloes.ca.gov, (916) 845-8753.

Application Due Date

The application must be **received** by Cal OES no later than 5:00pm on **October 14, 2015***.

*The completed application packet should be submitted as soon as possible after vetted by your Cal OES EMPG Program Specialist; however, by no later than **October 14, 2015.**

Application Submittal

The completed original hard copy of the FMFW and all other application components must be mailed with original signatures, with enough time to be received by Cal OES' Grants Management Section by the application due date. Signatures should be in ink. OAs will also submit an electronic copy of the completed FMFW to their Program Specialist. All application materials should be submitted as soon as possible; however, they must be **received** by Cal OES Grants Management Section by no later than **October 14, 2015, at 5:00pm**.

Note: To streamline the process, electronically submit the completed FMFW to your EMPG Program Specialist **prior** to submitting a signed hard copy, in order to identify any corrections or adjustments that may need to be addressed. The electronic copy of the FMFW should be submitted for Cal OES review by no later than **September 14, 2015**. Work closely with your **Program Specialist**⁹ to ensure that all application documents are complete and accurate. Further, EMPG Program Specialists (Grant Management Staff) are available to assist in any EMPG-related matters. If the application is received with errors or is incomplete, this will cause a delay in receiving your Notification of Application Approval letter by November 2015. Subrecipients must receive the Notification of Application Approval letter prior to drawing down any grant funds.

EMPG Program Specialists

Grant Management Staff:

Inland Region – Patti Delaney: patti.delaney@caloes.ca.gov, (916) 845-8469

Coastal Region – Michelle Cruz: michelle.cruz@caloes.ca.gov, (916) 845-8383

Southern Region – Jason Stalder: jason.stalder@caloes.ca.gov, (916) 845-8289

Tribal Nations – Cheryl McCorkle: cheryl.mccorkle@caloes.ca.gov, (916) 845-8415

Mailing Address

Cal OES
Emergency Management Grants Unit (EMGU)
3650 Schriever Avenue
Mather, CA 95655

Approval of Application

Cal OES will notify the OA, in writing, of the approved application, subaward amount, and performance period. Subrecipient reimbursements will not be made until all required application components have been approved by the State.

Additional Funds

In order to reallocate any identified excess, declined, or deobligated funds, we are asking the OAs to submit one-time EMPG eligible projects that they can fully execute in a two-five month period, as well as, within the subaward performance period. The Additional Project Using Excess Funds Form and Additional Project Using Excess Funds Detailed Budget should be submitted if an OA is interested in additional funds.¹⁰ If selected for funding, the applicant will be required to submit an FMFW Modification Request and an Amendment Form that will comprehensively integrate the approved excess funds project(s), both financially and programmatically, into their existing, approved FMFW application. These documents need to be submitted within 15 days of being notified; or funds may be re-directed to some other project(s). Additional funding requests may be submitted at any time but preferably during the application phase.

⁹ Emergency Management Grants Unit contact information: <http://www.caloes.ca.gov/GrantsManagementSite/Pages/Emergency-Management-Performance-Grant.aspx> under the heading of Regional Assignments Map.

¹⁰ These forms can be located at: <http://www.caloes.ca.gov/GrantsManagementSite/Pages/Emergency-Management-Performance-Grant.aspx>, under EMPG Forms.

Applicable Laws & Regulations

OAs must ensure that local and internal departments are aware of the following laws, regulations, and guidance documents that apply to this subaward:

- Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended
- Title 2 C.F.R. Part 200
- California Emergency Services Act, Chapter 7 of Division 1 of Title 2 of the Government Code – which provides the legal basis for Emergency Management activities in California
- Government Code Section 8607 describes the Standardized Emergency Management System
- California Supplement to the Federal Program Notice of Funding Opportunity, provided by Cal OES
- FY 2015 Emergency Management Performance Grants (EMPG) Program Notice of Funding Opportunity (NOFO), issued by the U.S. Department of Homeland Security (DHS): Federal Emergency Management Agency (FEMA)
- FEMA Grant Programs Directorate (GPD) Policies

Environmental Planning and Historic Preservation (EHP) Compliance

FEMA is legally required to consider the potential impacts of all grant-funded projects on environmental resources and historic properties. For the EMPG Program and other preparedness grant programs, this is accomplished through FEMA's Environmental Planning and Historic Preservation (EHP) review. Any project with the potential to impact natural or biological resources, or historic properties, or involving installation, or that involves Emergency Operation Center construction and renovation cannot be initiated until FEMA has completed the required EHP compliance review.

Subrecipients that implement projects prior to receiving EHP approval from FEMA risk de-obligation of funds. Subrecipients who are proposing communication tower projects are encouraged to complete their Federal Communications Commission (FCC) EHP process prior to preparing their EHP review materials for the Grants Program Directorate (GPD), and to include their FCC EHP materials with their submission to GPD. EMPG Program projects that involve the installation of equipment; ground-disturbing activities; new construction, including communication towers; or modification/renovation of existing buildings or structures must undergo a FEMA EHP review.

Note: EHP review requests may require that a confidential California Historical Resources Information System (CHRIS) report be provided to FEMA.¹¹

Furthermore, for those proposed construction or renovation projects that are part of larger projects funded from a non-FEMA source (such as an Emergency Operation Center that is part of a larger proposed public safety complex), a FEMA EHP review must be completed before the larger project is initiated.

For these types of projects, subrecipients must complete the FEMA EHP Screening Form (OMB Number 1660-0115/FEMA Form 024-0-1)¹² and submit it, with all supporting documentation, to Cal OES.

Note: Subrecipients should submit the FEMA EHP Screening Form for each applicable project as soon as possible. However, to ensure that ample time exists to allow for the FEMA EHP review and approval process, as well as the subsequent execution of the subaward-funded project, all subrecipient EHP-related documents must be received by Cal OES no later than

¹¹ Information regarding CHRIS can be obtained at: http://ohp.parks.ca.gov/?page_id=1068.

¹² The FEMA EHP Screen Form can be located at: <https://www.fema.gov/media-library/assets/documents/90195>.

**Environmental
Planning and
Historic
Preservation
(EHP)
Compliance,
Continued**

December 31, 2015. Exceptions to this due date will be at the discretion of Cal OES, based on exceptional circumstances and/or compelling justification.

Refer to FEMA GPD EHP Policy Guidance FP-108-023-1 (located at: <https://www.fema.gov/media-library/assets/documents/85376>) and IB 404 (located at: <http://www.fema.gov/grants/grant-programs-directorate-information-bulletins>) for further details on EHP requirements. The EHP Screening Form can be downloaded at: <https://www.fema.gov/media-library/assets/documents/90195>.

Forward completed EHP documents **electronically** to the appropriate Cal OES EMPG Program Specialist.

The following activities would not require the submission of the FEMA EHP Screening Form: planning and development of policies or processes; management and administrative or personnel actions; classroom-based training; tabletop and functional exercises; and acquisition of mobile and portable equipment (not involving installation).

Projects initiated without proper EHP review will not be funded. Projects that were initiated or completed before an EHP review was concluded, using EMPG Program funds, will be deobligated. To avoid unnecessary delays in starting a project, subrecipients are encouraged to pay close attention to the reporting requirements for an EHP review.

**Federally
Mandated
Objective
Information**

Validating Capabilities, Priority Objective, and Performance Measures¹³

To address the EMPG priorities, an objective has been identified and given a set of performance measures and associated reporting requirements to determine how effective subrecipients are in utilizing EMPG Program funding to prepare for all hazards, and advance a whole community approach. With these measures, subrecipients must evaluate their progress toward achieving the stated objectives in the quarterly EMPG Performance Report and in compliance with all reporting requirements.

**Extension
Requests**

Extensions to the initial period of performance identified in the subaward will only be considered through formal, written requests to your EMPG Program Specialist. Upon receipt of extension requests, Cal OES will: (1) verify compliance with performance reporting requirements by confirming that the subrecipient has submitted all necessary performance reports; (2) confirm that the subrecipient has provided sufficient justification for the request; and (3) if applicable, confirm that the subrecipient has demonstrated sufficient progress in past situations where an extension was authorized by Cal OES.

To be considered, extension requests must be received no later than 60 days prior to the end of the subrecipient's period of performance, and must contain specific and compelling justifications as to why an extension is required.

Additionally, period of performance extension requests should be limited to one month in duration. Only under extenuating and extremely compelling circumstances will two-month extensions be considered. Extension Requests beyond two months will not be considered.

¹³ The Federally Mandated Objectives can be located in the FY 2015 EMPG Program Notice of Funding Opportunity, Appendix A-FY 2015 EMPG Program Priorities, pages 25-30 at: http://www.fema.gov/media-library-data/1427284768817-b62b93d48b12617f423c0e8fbfde562b/FY2015EMPG_NOFO.pdf.

**Validating
Capabilities
Objective:
Develop and
Maintain Multi-
Year TEPs**

Subrecipient Requirements:

1. All subrecipients are required to develop a Multi-Year Training and Exercise Plan (TEP) that incorporates linkages to the NPG core capabilities and update it annually. The Multi-Year TEP shall encompass the period of January 1, 2016 – December 31, 2017.
2. The TEP must be submitted to the Cal OES Exercise Division POCs and EMPG Program Specialist by September 30, 2015.

Note: TEPs shall be e-mailed to Cal OES Exercise Division Points of Contact (POCs), with a copy to their EMPG Program Specialist (Grant Management Staff) no later than **September 30th** each year. Exercise POCs listed below are available for assistance, if needed, in any exercise-related matters.

- Southern Region – Steve Nunez: steve.nunez@caloes.ca.gov
- Inland Region – Kevin Leisher: kevin.leisher@caloes.ca.gov
- Coastal Region – Kevin Leisher: kevin.leisher@caloes.ca.gov

Measurement Method:

- Submission to Cal OES of an updated Multi-Year TEP.

Reporting:

- Subrecipients must report in the EMPG Performance Report their compliance with submitting an updated Multi-Year TEP to Cal OES.

**Validating
Capabilities
Objective:
Exercise**

1. All EMPG Program-funded personnel **shall participate in no less than three exercises in a 12-month period.** This 12-month period shall be the subaward performance period of July 1, 2015 – June 30, 2016, regardless of time extensions. EMPG Program-funded personnel are any personnel paid at any percentage with EMPG funding, including M&A staff. There is no specific requirement for level of “participation” in the exercises; so, observation and attendance satisfies the objective. The exercises can be of any type (e.g., discussion-based or operations-based) within the performance period (see <https://www.fema.gov/media-library/assets/documents/32326>).
2. An After Action Report/Improvement Plan (AAR/IP) must be completed by the host of each EMPG-funded exercise and submitted to hseep@fema.dhs.gov, and a copy sent to your EMPG Program Specialist within 90 days after the completion of an exercise.
3. A summary of all collected corrective action items and the tracking of their implementation shall be reported as part of the EMPG quarterly reporting.

Additional information and guidance related to AAR/IPs and the National Exercise Program (NEP) Base Plan can be found on the HSEEP website at <https://www.fema.gov/media-library/assets/documents/32326>. Questions regarding HSEEP guidance may be directed to hseep@fema.dhs.gov. For HSEEP Toolkit technical support, contact the HSEEP helpdesk at support@hseep.net, 877-612-4357.

Note: It is acceptable to submit an Exercise Summary Report for Seminars and Workshops in lieu of a full AAR/IP. E-mail the copies of the AAR/IPs to your EMPG Program Specialist.

**Validating
Capabilities
Objective:
Exercise,
Continued**

A summary of all collected corrective action items and a tracking of their implementation shall be reported as part of the EMPG quarterly reporting. FEMA encourages the use of the Homeland Security Exercise and Evaluation Program (HSEEP).

Exercise Division staff are available for assistance with any exercise-related questions or matters.

Measurement Method:

- Percent of exercises participated by the OA's EMPG-funded personnel.
- Submission of an AAR/IP completed by the host of the EMPG-funded exercises.

Reporting:

- Subrecipients must report quarterly in the EMPG performance report, the percent completed of the exercise requirements for the EMPG-funded personnel.
- Subrecipients must submit AAR/IPs for each EMPG-funded exercise, if the exercise is hosted by the subrecipients. AAR/IPs will be completed by the host of the exercise. Participants do not have to individually complete an AAR/IP.

**Validating
Capabilities
Objective:
Training**

Training activities supported with EMPG Program funds should strategically align to the NPG core capability identified in the Multi-Year TEP. To ensure the development of a professional emergency management workforce all EMPG Program-funded personnel shall complete 11 training requirements and record proof of completion. EMPG Program-funded personnel are any personnel paid at any percentage with EMPG funding; this includes M&A staff funded by EMPG Program funds. **All EMPG Program-funded personnel shall complete the following training requirements by June 30, 2016.**

National Incident Management System (NIMS) Training:

IS 100.b Introduction to Incident Command System (ICS)

IS 200.b ICS for Single Resources and Initial Action Incident

IS 700.a National Incident Management System, An Introduction

IS 800.b National Response Framework, An Introduction

FEMA Professional Development Series:

IS 120.a Introduction to Exercises

IS 230.d Fundamentals of Emergency Management

IS 235.b Emergency Planning

IS 240.b Leadership and Influence

IS 241.b Decision Making and Problem Solving

IS 242.b Effective Communication

IS 244.b Developing and Managing Volunteers

The aforementioned listed courses are available on-line and at no cost from the Emergency Management Institute (EMI) at the following links:

<http://training.fema.gov/IS/NIMS.aspx> & <http://training.fema.gov/is/searchis.aspx?search=PDS>

Note: The "G" course series and classroom-based equivalents can be used as an alternate to satisfy these training requirements. Past completion of the above courses (or qualifying equivalent) is considered acceptable in meeting this requirement. Recorded proof of completion, such as certificates of completion, must exist and be kept on file by the subrecipient and be made available for review upon request.

**Validating
Capabilities
Objective:
Training,
Continued**

Measurement Method:

- Percent of EMPG Program-funded personnel completing the previously identified 11 required training courses.

Reporting:

Subrecipients are required to share with Cal OES a TEP that includes an exercise plan and schedule, and a plan for training personnel. **Information related to TEPs can be obtained by consulting Cal OES' Exercise Division POC.**

- Submission of a list of EMPG Program-funded personnel along with the training and dates completed is to be included in the EMPG Program quarterly Performance Reports.

**Training
Feedback
Number**

In order for EMPG Program funds to be utilized for training-related purposes, subrecipients must first obtain a Training Feedback Number. Training Feedback Numbers must be obtained no later than thirty (30) days prior to the training event. To be considered for a Training Feedback Number, subrecipients must complete a Training Request Form and submit it electronically to Cal OES.

Training Request Forms can be obtained at the following link:

<https://w3.calema.ca.gov/WebPage/trainreq.nsf/TrainRequest?OpenForm>

For Training Request Form or Training Feedback Number assistance contact Johnie Garrett at john.garrett@caloes.ca.gov.

Subcontracts

In accordance with 2 C.F.R. § 200.326 Contract Provisions, any time funds are given to a contractor the subrecipient's contracts must contain the applicable provisions described in Appendix II to 2 C.F.R. Part 200—Contract Provisions for Non-Federal Entity Contracts Under Federal Awards. The OA must monitor and ensure that the contractors are adhering to all applicable federal and state laws. The OA must not make or permit any award (subaward or contract) at any tier to any party that is debarred, suspended, or otherwise excluded from, or ineligible for participation in federal assistance programs, such as the EMPG. Subrecipients must obtain documentation of eligibility prior to any subaward of EMPG funds and be prepared to present supporting documentation to monitors.

**System for
Award
Management
(SAM)**

The System for Award Management (SAM) includes information regarding entities debarred, suspended, proposed for debarment, excluded or disqualified under the non-procurement common rule, or otherwise declared ineligible from receiving federal contracts, certain subcontracts, and certain federal assistance and benefits. Contractor disbarment verification can be obtained from the following website: <https://www.sam.gov>.

**Maintenance
and
Sustainment**

The use of EMPG funds for maintenance contracts, warranties, repair or replacement costs, upgrades, licenses, and user fees are allowable under all active and future grant awards, unless otherwise noted. With the exception of maintenance plans purchased incidental to (i.e., at the same time and under the same subaward as) the original purchase of the system or equipment, the period covered by a maintenance agreement or warranty plan must not exceed the period of performance of the specific grant funds used to purchase the plan or warranty, and address the requirements identified in FEMA Information Bulletin (IB) 379.

Unallowable Costs

- Expenditures for weapons systems and ammunition
- Costs to support the hiring of sworn officers for the purposes of fulfilling traditional public safety duties or to supplant traditional public safety positions and responsibilities
- Activities and projects unrelated to the completion and implementation of the EMPG Program

Supplanting

Grant funds must be used to supplement existing funds, not replace (supplant) funds that have been appropriated or budgeted for the same purpose through non-federal sources. In the event that supplanting is suspected, the subrecipient will be required to supply documentation demonstrating or certifying that a reduction in non-federal resources occurred for reasons other than the receipt, or expected receipt, of federal funds.

Accessibility of Records

The federal Department of Homeland Security(DHS), the DHS Office of Inspector General, the Comptroller General of the United States, Cal OES, and any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records which are pertinent to the subaward, in order to make audits, monitoring reviews, examinations, excerpts, and transcripts. The right of access is not limited to the required retention period but shall last as long as the records are retained. Refer to 2 C.F.R. § 200.336 for more information about accessibility of records.

Reimbursement of Eligible Costs

The EMPG is a reimbursement grant and therefore no cash advances are permitted under the EMPG. The EMPG funds will be disbursed on a reimbursement basis, using the FMFW.

Follow the **Workbook instructions for Reimbursement Requests**¹⁴ and submit the signed forms to your EMPG Program Specialist.

Payment will be made within 30 days after the Grants Management Section receives a valid and complete Reimbursement Request. It is strongly recommended that copies of all documents adding up to the total of each Reimbursement Request be retained to make verification by monitors and/or auditors easier. Cal OES may require submittal of these documents at any time.

Subaward Modifications

Post award budget, scope, and other modifications must be requested using the Cal OES FMFW and be signed by the subrecipient's Authorized Agent. A hard copy must be submitted to Cal OES and approved by Cal OES' Grants Management Section, **prior** to initiating any revised scope of work or incurring the associated expenditures.

The OAs may submit modifications to Cal OES **once per quarter** during the performance period. Exceptions to allow more modifications during a quarter will be made at Cal OES discretion and will be based on exceptional circumstances and/or compelling justification. Failure to submit modifications and receive approval prior to expenditure could result in a reduction or disallowance of that part of the subaward.

Instructions on how to submit a Modification Request are available at the link identified in the footnote.¹⁵

¹⁴ The Reimbursement Request instructions can be located at: <http://www.caloes.ca.gov/GrantsManagementSite/Pages/Emergency-Management-Performance-Grant.aspx>.

¹⁵ The Modification Request instructions can be located at: <http://www.caloes.ca.gov/GrantsManagementSite/Pages/Emergency-Management-Performance-Grant.aspx>.

Performance Reports

Subrecipients must prepare and submit Performance Reports to the State for the duration of the subaward performance period, or until all grant activities are completed and the subaward is formally closed by Cal OES. The reports must include the progress made on identified activities, as well as other required information and data. Failure to submit a Performance Report could result in subaward reduction, termination, or suspension.

Subrecipients must also complete a Biannual Strategy Implementation Report (BSIR) using the DHS/FEMA Grants Reporting Tool (GRT). To obtain access to the online GRT, log on to their website at www.reporting.odp.dhs.gov. To create a new account, follow the instructions that read, “If you need to register for an account, please click here.” For additional assistance with the GRT, contact: Gina Avelar at gina.avelar@caloes.ca.gov, (916) 845-8647.

Closeout

The State will close a subrecipient subaward after:

- Receiving a subrecipient Performance Report indicating that all approved work has been completed, and all funds have been disbursed
- Completing a review to confirm the accuracy of reported information
- Reconciling actual costs to awards, modifications, and payments

If the closeout review and reconciliation indicates that the subrecipient:

- Is owed additional funds, the State will send the final payment automatically to the subrecipient
- Did not use all funds received, the State will issue a deobligation amendment, invoice, or letter to recover unused funds
- Did not expend all obligated grant funds, the State will require that a Grant Award Amendment be completed to deobligate the unspent funds and revert them back to the State

Records Retention

Specific requirements for record retention can be found in 2 C.F. R. § 200.333. In the Grant Closeout Letter, the State will notify the subrecipient of the start of the record retention period for all programmatic and financial subaward-related records.

Final Subaward Report

Cal OES will review the OA’s final Performance Report for compliance with all subaward conditions. The final Performance Report is due to Cal OES by July 14, 2016, (unless the subaward performance period is extended) and will serve as the final subaward report.

Audit Requirements

The OAs, and their subrecipients, must comply with the audit requirements contained in 2 C.F.R. Part 200 Subpart F—Audit Requirements.

Monitoring Subaward Performance

The State may perform periodic reviews of the OA’s subaward performance. The Monitoring Division is actively conducting monitoring visits, both desk review and on-site, among subrecipients. These reviews may include, but are not limited to:

- Comparing actual subaward activities to those approved on the Financial Management Forms Workbook
- Confirming compliance with:
 - Subaward Assurances and Certifications
 - Information provided on the Performance Reports
- Reviewing and monitoring financial and administrative records

To provide support and guidance, Grants Management Staff will be intermittently conducting on-site programmatic and financial reviews of OA’s EMPG Program-related activities.